

1 FAM 010

AUTHORITY, RESPONSIBILITY, AND ORGANIZATION

(TL:ORG-124; 06-13-2003)

(Office of Origin: G/STAS)

1 FAM 011 AUTHORITY FOR CONDUCTING FOREIGN RELATIONS

(TL:ORG-62; 01-31-95)

The Constitution vests in the President the power to make treaties and appoint ambassadors, other public ministers, and consuls, by and with the advice and consent of the Senate. By derivation from these Constitutional provisions, the President exercises primary authority and responsibility for the formulation and execution of foreign policy.

1 FAM 011.1 Scope

(TL:ORG-104; 06-30-2001)

a. The functional statements or organizational responsibilities and authorities assigned to each major component of the Department are described in this volume of the *Foreign Affairs Manual*. They comprise the basic organizational directive of the Department of State.

b. This volume also cites the more important legislation and executive orders, accompanied by charts, where appropriate, relating to the responsibilities of the Department of State.

c. The official organization chart of the Department, 1 FAM 011 Exhibit 011.1, derives from the functional statements contained in this volume.

1 FAM 011.2 Role of Department of State

(TL:ORG-104; 06-30-2001)

The Department of State exists to assist the President, through the Secretary of State, in formulating and executing the foreign policy and relations of the United States of America.

1 FAM 012 THE SECRETARY OF STATE'S AUTHORITY

(TL:ORG-62; 01-31-95)

a. The Secretary of State's basic authority derives from the provisions of the U.S. Constitution that vest in the President the authority to conduct foreign affairs. The Secretary of State is the President's principal foreign policy advisor and is responsible for the formulation of foreign policy and the execution of approved policy (22 U.S.C. 2656).

b. The Secretary exercises authorities under numerous statutes and executive orders, including the State Department Basic Authorities Act of 1980, 70 Stat. 890, as amended, the Foreign Service Act of 1980, Pub. L. 96-465, as amended, and the Omnibus Diplomatic Security and Antiterrorism Act of 1986 (Pub. L. 99-399), as amended.

c. In addition, the authorities of the Secretary of State include authority to administer the Department and the Foreign Service under 22 U.S.C. 2651a, 3921, and 3926, and E.O. 10973 and E.O. 12137.

1 FAM 013 INTERDEPARTMENTAL DIRECTION AND LEADERSHIP

(TL:ORG-62; 01-31-95)

The Department of State provides interdepartmental direction and leadership to other Foreign Affairs agencies of the U.S. Government.

1 FAM 013.1 National Security Council System and Direction, Coordination, and Supervision of Interdepartmental Activities Abroad

(TL:ORG-62; 01-31-95)

To assist in carrying out the President's responsibilities for the conduct of national security affairs, the President has designated the National Security Council (NSC) as the principal forum for consideration of national security policy issues requiring Presidential decision. The following interagency groups with Department of State participation have been established to support the NSC at large and its individual members in carrying out their responsibilities for foreign policy.

1 FAM 013.1-1 Senior Interdepartmental Group-Foreign Policy (SIG-FP)

(TL:ORG-82; 12-01-1999)

a. The SIG-FP will:

(1) Ensure that important foreign policy issues requiring interagency attention receive full, prompt, and systematic consideration;

(2) Deal with interdepartmental matters raised by any member or referred to it by subordinate interagency groups, or, if such matters require higher-level consideration, report them to the Secretary of State for decision or referral to the NSC;

(3) Ensure a proper selectivity of the foreign policy/foreign affairs areas and issues to which the United States applies its efforts;

(4) Monitor the execution of approved policies and decisions; and

(5) Evaluate the adequacy and effectiveness of interdepartmental programs and activities abroad.

b. The SIG-FP is composed of senior policy-level representatives of the Department of State (Chairman), the Department of Defense, the Director of Central Intelligence, the Chairman of the Joint Chiefs of Staff, and the Assistant to the President for National Security Affairs. Representatives of other departments and agencies with responsibility for specific matters to be considered will attend on invitation by the Chairman.

1 FAM 013.1-2 Interdepartmental Group (IG)

(TL:ORG-104; 06-30-2001)

a. An interdepartmental group (IG) is established and convened under the authority of the Secretary of State. Its two primary responsibilities are to:

(1) Formulate foreign policy for consideration at the policy level, and

(2) Implement approved policy decisions.

b. An IG is designed to coordinate the positions and interests of the foreign affairs community through an orderly, well-managed process. The Department of State is responsible for ensuring that the views and positions of all appropriate agencies are adequately represented throughout the process.

c. The IGs will be chaired by the appropriate assistant secretary, and membership will include representatives of the Secretary of Defense, the Director of the Central Intelligence Agency, the Chairman of the Joint Chiefs of Staff, the Assistant to the President for National Security Affairs, and other agencies at the discretion of the Chair, depending on the issue under consideration.

1 FAM 013.1-3 Interagency Process

(TL:ORG-104; 06-30-2001)

Policy issues flow upward from interagency groups (IGs) at the assistant secretary level, to senior interagency groups (SIGs) at the deputy or under secretary level, and then to the National Security Council (NSC) for decision. Foreign policy issues in the interagency system originate in the Department's bureaus or are identified for study in a National Security Study Directive (NSSD) emanating from the White House. The culmination of the interagency process is the National Security Decision Directive (NSDD) issued by the President. The NSDD promulgates policy decisions taken by the President and directs their implementation.

1 FAM 013.1-4 Country Director

(TL:ORG-104; 06-30-2001)

a. A country director serves as the single focus of responsibility for leadership and coordination of departmental and interdepartmental activities concerning his or country or countries of assignment. In particular, the director will:

(1) Provide continuing departmental and interdepartmental leadership in planning, coordination, and implementation of decisions;

(2) Raise specific matters for consideration by the NSC interdepartmental groups, and bring detailed knowledge to the interdepartmental group discussions when so requested; and

(3) Serve as the base for crisis task force operations, as necessary.

b. The country director will be responsible for seeing that the chief of mission's needs are served both within the Department and U.S. Government-wide and will ensure that the mission is properly supported in the full range of its requirements, policy, operations, and administration.

c. Each country director will organize and develop such contacts, channels, and mechanisms as are appropriate to and necessary for full interdepartmental leadership on country matters, and for full support to the assistant secretary.

d. To assist in providing guidance and direction to the country director, the assistant secretary will have one or more deputy assistant secretaries whose areas of responsibility will be defined by the assistant secretary.

1 FAM 013.2 Chiefs of U.S. Missions' Responsibilities

(TL:ORG-104; 06-30-2001)

a. Section 102(3) of the Foreign Service Act of 1980 (Pub. L. 96-465, October 17, 1980) states:

(3) ...'chief of mission' means the principal officer in charge of a diplomatic mission of the United States or of a United States office abroad which is designated by the Secretary of State as diplomatic in nature, including any individual assigned under section 502(c) to be temporarily in charge of such a mission or office.

Reflecting the wishes of Congress expressed in the words of the House report accompanying the Fiscal Year 1979 authorization bill, the principal officer in charge of such diplomatic missions as the Consulate General in Jerusalem, the Consulate General in Hong Kong, and the U.S. Interests Section in the Swiss Embassy in Havana have been designated as chiefs of mission.

b. Section 207 of the Foreign Service Act of 1980 (Pub. L. 96-465, October 17, 1980, as amended) reads:

Sec. 207. CHIEF OF MISSION.

(a) Under the direction of the President, the chief of mission to a foreign country—

(1) shall have full responsibility for the direction, coordination, and supervision of all Government executive branch employees in that country (except for employees under the command of a United States area military commander); and

(2) shall keep fully and currently informed with respect to all activities and operations of the Government within that country, and shall insure that all Government executive branch employees in that country (except for employees under the command of a United States area military commander) comply fully with all applicable directives of the chief of mission.

(b) Any executive branch agency having employees in a foreign country shall keep the chief of mission to that country fully and currently informed with respect to all activities and operations of its employees in that country, and shall

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insure that all of its employees in that country (except for employees under the command of a United States area military commander) comply fully with all applicable directives of the chief of mission.

- (c) Each chief of mission to a foreign country shall have as a principal duty the promotion of United States goods and services for export to such country.

c. See 1 FAM 013 Exhibit 013.2 for the language approved by President George W. Bush for his letter of instruction to chiefs of missions.

1 FAM 013.3 Foreign Assistance Administration and Related Functions

1 FAM 013.3-1 Foreign Assistance Act of 1961, as amended

(TL:ORG-104; 06-30-2001)

The Foreign Assistance Act of 1961 and the Arms Export Control Act, as amended, are the enabling legislation for both economic and military foreign assistance (including sales) programs. In general, the President may further delegate the authorities.

1 FAM 013.3-2 Executive Order 12163 of September 29, 1979, as amended

(TL:ORG-62; 01-31-95)

a. Executive Order 12163 of September 29, 1979, as amended, delegates to the Director of the United States International Development Cooperation Agency and to the Secretary of State the President's functions under the Foreign Assistance Act, as well as under the Mutual Defense Assistance Control Act of 1961, the Mutual Security Act of 1954, and other specified acts, except as certain of these functions are otherwise delegated or reserved to the President.

b. The Agency for International Development (USAID), headed by an administrator, carries out non-military programs under the Act.

1 FAM 013.3-3 Secretary of State's Delegation of Authority No. 145 of February 4, 1980, as amended

(TL:ORG-104; 06-30-2001)

The Secretary of State's Delegation of Authority No. 145 delegates to the Under Secretary for Security Assistance, Science, and Technology the Secretary's authorities with respect to security assistance and military assistance and sales, as well as coordination authorities under section 622(c) of the Foreign Assistance Act and similar provisions in the Arms Export Control Act.

1 FAM 013.3-4 USAID Representation at Meetings with Foreign Delegations

(TL:ORG-62; 01-31-95)

a. Assistant secretaries will ensure appropriate USAID representation at meetings of the President, the Secretary, the Deputy Secretary, and others with foreign delegations and representatives if there is any reason to believe that USAID subjects are likely to be discussed.

b. USAID representation should not result in an increase in the total number of U.S. participants in the meetings which, except in unusual circumstances, should approximate the number of foreign participants. It is expected that foreign delegations will generally arrange separate meetings with USAID for detailed discussions of USAID subjects.

c. Regional bureaus of the Department will consult with USAID bureaus to ensure that USAID is properly informed of all meetings in which it should be represented. Similarly, USAID bureaus should ensure that bureaus of the Department are properly informed of all USAID meetings with foreign delegations or representatives in which they should participate.

1 FAM 013.4 Peace Corps

(TL:ORG-104; 06-30-2001)

a. The following are the authorities for the interrelationship between the Peace Corps and the Department of State.

b. **Executive Order 12137 of May 16, 1979, as amended.** Executive Order 12137, as amended, delegated to the Director of ACTION all functions conferred by the Peace Corps Act of 1961 (75 Stat. 612), except those directly conferred by the Act on, or delegated to, the Secretary of State or reserved for the President.

c. **Public Law 97-113 of 1981.** Pub.L. 97-113 reestablished the Peace Corps as an independent agency in 1981.

d. **Secretary of State Telegram of December 13, 1995** (95 State 287326). The text of this telegram is contained in 1 FAM 013 Exhibit 013.6.

1 FAM 013.5 Other Interagency Relationships

1 FAM 013.5-1 Coordination

(TL:ORG-104; 06-30-2001)

a. In addition to the “foreign affairs family” of the Department of State and other civilian U.S. Government agencies principally engaged in activities abroad, there are other domestic departments and agencies with international operations.

b. Through its Specialized Attaché Program, the Department and the Foreign Service also act for certain of these departments and agencies. A few others carry on their own programs.

c. The Department assists other U.S. Government departments and agencies in both of these instances, always mindful of the Secretary’s primary responsibility for the conduct of U.S. foreign relations. This cooperation has taken the form of a varied group of arrangements. Some are written, detailed agreements, whereas, others are less formal understandings concerning budgeting, staffing, administrative support, and reimbursement procedures.

1 FAM 013.5-2 Foreign Service Personnel

(TL:ORG-82; 12-01-1999)

Under the Foreign Service Act of 1980, the Secretary of State administers and directs the Foreign Service and coordinates its activities with the needs of the Department and other agencies and consults with other agencies using the Foreign Service personnel system (USAID, Foreign Agricultural Service, Foreign Commercial Service) to ensure maximum compatibility.

1 FAM 013.5-3 Staffing Abroad

(TL:ORG-104; 06-30-2001)

a. Section 103(c) of the Omnibus Diplomatic Security and Antiterrorism Act of 1986 (Pub. L. 99-399), as amended, gives the Secretary full responsibility for the coordination of all U.S. Government personnel assigned to diplomatic or consular posts or other U.S. missions abroad (except those under a U.S. area military commander) and authority to establish appropri-

ate staffing levels for such posts or missions for all Federal agencies with activities abroad (with the same military exception and an exception for USAID's Inspector General).

b. This authority and responsibility is exercised through chiefs of mission under sections 207 of the Foreign Service Act, the President's letter to chiefs of mission (see 1 FAM 013 Exhibit 013.2), and NSDD-38.

c. Interagency agreements are cited throughout the Foreign Affairs Manual and Handbooks, as appropriate, to the program and/or policy under discussion. In addition to those specific agreements, the following agreements have been reached with non-Executive Branch agencies:

(1) State/Library of Congress Memorandum of Understanding on Overseas Staffing—March 14, 1989; and

(2) State/GAO Memorandum of Understanding on Overseas Staffing—December 15, 1988.

1 FAM 014 ORGANIZATIONAL CONTROL, POLICIES, AND FUNCTIONAL STATEMENTS

(TL:ORG-62; 01-31-95)

The Secretary of State is responsible for control of the organizational structure and assignment of functions in the Department of State. The Secretary has delegated this authority, through the Deputy Secretary, to the Under Secretary for Management (M). Within the policy guidelines established by the Under Secretary, operational responsibility for position management lies with the Department's line managers. Therefore, bureau heads (and managers of similar or higher rank with independent staffs) have primary accountability for assuring that the organizations under their direct control conform with the organizational objectives established by the Under Secretary for Management.

1 FAM 014.1 General Organizational Objectives

(TL:ORG-62; 01-31-95)

a. Consistent with the overall U.S. Government policy of ensuring the most effective use of Government resources, any proposed new organizational structure should strive to achieve a proper balance among:

- (1) Mission needs;
- (2) Efficiency of operations; and
- (3) Effective employee utilization.

b. The first step is to identify the basic mission and authorities delegated to the organization. Organizational planning should then be guided by the objective categories outlined below.

- (1) Meeting Department priorities;
- (2) Improving service delivery; and
- (3) Improving internal management.

1 FAM 014.2 Organizational Nomenclature

(TL:ORG-62; 01-31-95)

The basic nomenclature for the Department's organizational structure is summarized below. There are some exceptions to the basic nomenclature; these exceptions, for the most part, reflect specific legislative requirements:

Organization Level	Title of Nomenclature	Organization Head
Level 1	Department	Secretary
Level 1a	Department	Deputy Secretary
Level 1b	Department	Under Secretary
Level 1c	Department	Ambassador at Large
Level 2	Bureau	Assistant Secretary
Level 3	Non Specified	Deputy Assistant Secretary
Level 3a	Directorate	Managing Director
Level 4	Office	Director
Level 5	Division	Chief
Level 6	Branch	Chief
Level 7	Section	Chief

1 FAM 014.3 Generic Responsibilities

(TL:ORG-62; 01-31-95)

a. The **Department** is headed by the Secretary who promulgates such rules and regulations as may be necessary to carry out the functions vested by statute or executive order in the Department. The Secretary may delegate authority to perform any of these functions including, if so specified, the authority to redelegate any of the functions to officers and employees under the Secretary's direction and supervision (22 U.S.C. 2651a):

(1) The **Deputy Secretary** serves as the Acting Secretary in the Secretary's absence. The Deputy Secretary also serves as principal adviser to the Secretary in the formulation and conduct of all U.S. foreign policy and assists the Secretary in providing overall supervision and direction to all substantive and administrative elements of the Department.

(2) **Under Secretaries** assist the Secretary and Deputy Secretary in the formulation and conduct of U.S. foreign policy and provide specific leadership in matters such as:

- (a) Interdepartmental activities of the U.S. Government abroad;
- (b) Intergovernmental affairs;
- (c) Foreign economic and commercial policy;
- (d) Security assistance programs;
- (e) Global human rights, crime, science, and environment programs;
and
- (f) Administrative operations of the Department.

(3) **Ambassadors at Large** are appointed by the President and serve anywhere in the world to help with emergent problems, to conduct special or intensive negotiations, or serve in other capacities, as requested by the Secretary or the President.

b. **Bureaus** and some other specified Department organizations, usually headed by assistant secretaries or positions administratively equivalent to the rank of assistant secretary, administer one or more major functions of the Department. If the bureau has more than one major function and is an organization of substantial size and or complexity, it should be further structured to have deputy assistant secretaries (DAS), or positions ranked equivalent thereto, to oversee these major functions. Where the size and scope of a major function requires it, a managing director may oversee collections of office-level sub-functions. A managing director is never equivalent to deputy assistant secretary rank. Managing directors only report directly to deputy assistant secretaries, and directorate structure is such that managing directors are to have clearly defined managerial responsibilities (they are not deputies to deputy assistant secretaries).

c. **Offices** are structures below the DASs and are constructed around sub-functions which require application of discrete bodies of knowledge and the exercise of policy control within that field. These structures usually are responsible for a complete functional field and are staffed with professionals or specialists who are considered to be authorities in this field.

d. Within the office structure there may be **divisions** which are tasked with performing contiguous processes or perform staff or operating activities or carry out major sub-elements of the general functional field.

e. **Branches** and **sections** are further sub-divisions of the responsibilities assigned to a Division.

f. **Staff** (as an organizational unit) is a structure consisting of a minimum of 6 persons assigned to another organizational unit at any level. Staff functions are generally discrete and self-contained. A staff may or may not have its own chief.

1 FAM 014.4 Organization Planning Principles

(TL:ORG-62; 01-31-95)

a. Organizational layers should be limited to the minimum number consistent with effective span of control and performance of mission. The addition of non-essential supervisory layers increases problems associated with establishing clear delegation of responsibility and authority, transmission of information, work flow, clearances, operational costs, and morale.

b. Full deputy or assistant positions are normally appropriate only at higher levels within the organization. Proliferation of deputy positions is a major source of poor organizational design and position management.

c. Staff units which report directly to an assistant secretary should be established only to provide direct support in the development of policy or planning or to provide a point for coordination of cross-cutting activities.

d. Span of control is the number of subordinates one supervisor can effectively manage. It is a significant aspect of organizational design. A narrow span of control leads to unnecessary organizational layering or proliferation; frequently results in excessive control on the part of supervisors; and stifles initiative among subordinates (particularly in policy development or support activities). On the other hand, too wide a span of control hinders the ability to make supervisory decisions based on a thorough knowledge and understanding of the particular issue.

1 FAM 014.5 Organizational Control

(TL:ORG-122; 03-11-2003)

a. The Under Secretary for Management (M) must approve, in advance and in writing, changes in functions and responsibilities between bureaus, as well as the establishment of all assistant secretary equivalent positions and all deputy assistant secretary (or equivalent) positions, except for the Office of the Inspector General, as well as all managing director positions. Bureaus and/or offices should submit their requests to the Director General of the Foreign Service and Director of Human Resources (M/DGHR) for approval prior to submission to M.

b. Changes in organizational structure at the office or country director level which do not meet the criteria listed in 1 FAM 015.6 must receive advance written approval from the Under Secretary for Management.

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c. Those office or country director level organizational changes which satisfy these criteria may be approved by the bureau head and then reported to the Under Secretary for Management prior to the planned date of implementation. Bureau authority to approve changes in organizational structure does not include the reclassification of positions involved in the change.

NOTE: The Under Secretary may overturn any organizational change which violates these criteria. Therefore, to ensure logical and consistent implementation of the intended changes, bureaus should consult during the planning process with the:

(1) Office of Civil Service Personnel (HR/CSP) on position classification and organizational design issues;

(2) Office of Resource Management and Analysis (HR/RMA) on resource and position management issues;

(3) Staff of the Under Secretary for Management (M) on general management policy and planning issues;

(4) Bureau of *Resource Management (RM)* on funding implications (including allocating organization codes); and

(5) Directives Management Staff (A/RPS/DIR) 1 FAM Volume Coordinator on office symbols and issuance.

d. Reports of bureau-approved changes and bureau requests for exceptions to these criteria must be submitted to the Under Secretary for Management (M) through M/DGHR with a copy provided to the Director, Office of Management Policy and Planning (M/P). The reports should briefly outline the following information:

(1) Background—a concise statement describing the existing organization, the proposed change(s), and the reasons or basis for the changes to the organizations(s) being proposed, amended, abolished, or changed in title.

(2) Discussion—the effects expected of the new structure. As appropriate, this section should include:

(a) Any changes in functions or assignment of functions to subordinate organizational components;

(b) How the proposed organization meets the four broad position management goals, i. e.:

- Meeting Department priorities,
- Improving service delivery,
- Improving internal management, and

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- Improving employee morale and motivation.

(c) The effect, if any, the proposed change will have on other department components, a list of organizations consulted on the proposal, resource implications, (positions, full time equivalent (FTE), and budget), and a summary of unresolved issues, if any; and

(d) Any alternative organizational options considered and reasons why rejected.

(3) Attachments—the report and/or requests should contain:

(a) A proposed mission and function statement for each affected organizational component (for inclusion in the FAM);

(b) Revised staffing structure and organization charts for the bureau; and

(c) A listing of any new or changed delegations of authority. Refer to subchapter 2 FAM 1140 regarding this issue.

e. Approved organization charts will become the Department's official organization charts after the functional statements have been published in the FAM.

f. Changes in organization below the office director level should meet these criteria but may be approved by the assistant secretary or equivalent head of the bureau:

(1) To ensure organizational consistency at all levels of the Department, subordinate managers shall submit to the bureau and/or equivalent head a request containing the information described in paragraph c above. A copy shall be retained by the bureau executive director's office so long as the organizational structure remains valid.

(2) When approving organization changes below the office director level (including the granting of appropriate exceptions to these criteria), the bureau/equivalent head shall review the proposed changes in light of the organization principles and control provisions cited herein. Prior to approval, the approving official is encouraged to consult with *HR/CSP*, *HR/RMA*, and *M/P* on organizational structure, position classification, position, and general policy implications of proposed structures.

(3) After approval, **AND PRIOR TO THE IMPLEMENTATION DATE**, such changes must be reported to *HR/CSP*, *HR/RMA*, *M/P*, and *A/RPS/DIR* so that necessary implementation steps can be taken.

1 FAM 014.6 Organizational Policies and Criteria

(*TL:ORG-82; 12-01-1999*)

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a. Organizational layering is to be kept to a minimum. If an organization establishes sub-component structures, it should divide into at least two lower level structures, (e.g., no bureau may have just one office level sub-component; no office may have just one division level sub-component, etc.). Bureaus and equivalent levels are divided first into office level and then into division level nomenclature. Routine functions (such as certain administrative activities) may be further subdivided to branch and section levels.

b. Regional bureaus may be organized on sub-regional, multiple country, and/or individual country bases. This structure is designed to be flexible and contemplates the regrouping of countries whenever workload, crises, or other operational matters indicate this to be desirable. These organizational components are equivalent to an office.

c. Organizational structures involving full deputy or assistant positions are to be minimized and reserved for situations where the volume and nature of the principal's work cannot be effectively accomplished by one person.

(1) The deputy/assistant participates with the principal in carrying out the full range of management responsibilities and acts with full authority over the total work of the organization during the principal's unavailability or absence. Where the supervision of an office needs to be sub-divided, the appropriate sub-components are divisions led by division chiefs. Specialized deputies (usually multiple in number) to oversee specific aspects of the organization (e.g., Deputy for Policy or Deputy for Operations) constitute exceptions to this policy and are rarely justified.

(2) There are no provisions for deputy positions to under secretaries, deputy assistant secretaries, managing directors, division chiefs, branch chiefs, section chiefs, or staff chiefs.

(3) The classification approval required for the establishment of full deputy/assistant positions is vested in the director, HR/CSP; all requests to classify full deputy/assistant positions will be reviewed against criteria issued by HR/RMA.

d. To maintain effective and efficient span of control, the following criteria will guide the design of the organizational structure:

(1) Except for staff units, **ANY** organizational entity or sub-component requires a minimum of 8 employees (vacant positions should not be used to justify the establishment of organizational entities) in the absence of overriding functional considerations.

(2) Subdividing an organization should result in the smallest possible number of sub-components consistent with the above criteria and with the requirements of the organization's functional mission.

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(3) An office should have at least 12 employees. The total number of employees may consist of full-time permanent, part-time permanent, or similar temporary positions (including private sector contractor positions if appropriate—see item d(4) below). To minimize the potential for organizational fluctuations, the majority of the positions cited as justification for the establishment/existence of an office should be permanent. If the organization drops below the appropriate number of positions for a period exceeding 6 months, consideration should be given to its abolishment and/or consolidation into some other existing unit.

(4) Private sector contractor positions may be used as the basis for the establishment/existence of an office or other organizational entity only:

(a) After the minimum number of employees (i.e., 8) are present to constitute an organization;

(b) The positions represent a continuing work requirement and/or work force; and

(c) Supervision of the position(s) involves more than oversight responsibilities (i.e., the supervisor assigns, review, and evaluates work products; establishes priorities and deadlines for work; and accepts or rejects work products) for a continuing recognizable work force on a regular and recurring basis.

e. Because the Department's fundamental organizational building block is the office, the following guidelines should be considered carefully in creating an office:

(1) Like functions should be grouped together in an organization;

(2) Integral policy or operational fields should not be divided into separate offices; and

(3) The level and degree of policy and negotiating responsibility exercised by the organization are important factors in determining the need for an office.

1 FAM 014.7 Functional Statements

(TL:ORG-104; 06-30-2001)

a. Functional statements provide the minimum detail to define the area of responsibility of an organizational unit, to distinguish its activities from those of related units, and to eliminate potential overlap and duplication. To facilitate the classification of positions at all organization levels, functional statements are required for **all** approved organizational structures, even though such statements may not be published in the FAM.

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b. In general, functional statements approved by the Under Secretary for Management constitute official delegations of authority for the Department. Authority vested in an individual position becomes a part of the authority of each position in the direct line of supervision above that position, except where authority is specifically vested by law in a designated official. Once the Under Secretary has delegated authority over a topic to a bureau, the bureau heads may redelegate that authority within their bureau if they are specifically granted redelegation authority.

c. Bureaus or offices are responsible for submitting updated functional statements to the Directives Management Staff (A/RPS/DIR), whenever necessary, to ensure that 1 FAM, *Organization and Functions*, is current at all times. Bureaus or offices are also responsible for providing copies of updated functional statements and organization charts to HR/CSP and HR/RMA to facilitate their classification and position management responsibilities.

1 FAM 015 ORGANIZATION SYMBOLS

(TL:ORG-124; 06-13-2003)

a. *Organization symbols are assigned by the Office of Financial Policy and Management Controls (RM/GFS/FPRA/FPMC). New Department units are to have FPMC assign and/or approve their symbols before obtaining organization codes.*

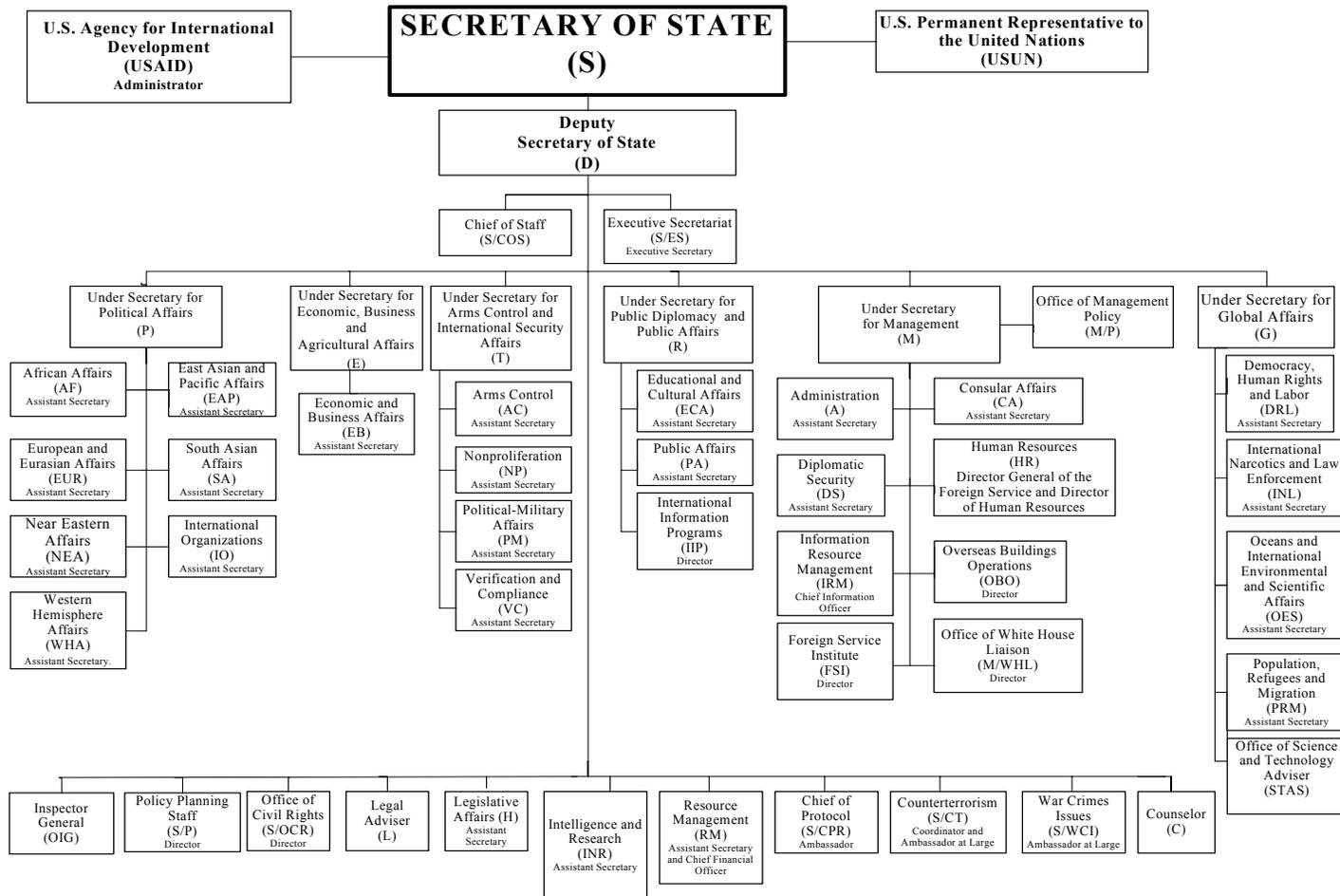
b. *Organizational changes (i.e., office symbols) must be codified in 1 FAM. Although ALDACS and Department Notices can be used to transmit organizational changes, these are interim means of communications. Both ALDACS and Department Notices expire 90 days from date of issuance (see 2 FAM 1115.2 paragraph a.).*

1 FAM 016 THROUGH 019 UNASSIGNED

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1 FAM 011 Exhibit 011
 UNITED STATES DEPARTMENT OF STATE

(TL:ORG-124; 06-13-2003)



1 FAM 013 Exhibit 013.2

TEXT OF PRESIDENT'S LETTER TO CHIEFS OF MISSION

(TL:ORG-104; 06-30-2001)

Dear Mr. or Madam Ambassador:

Thank you for your willingness to serve the American people and the cause of freedom and peace around the world. I extend my warmest congratulations and wish to say how proud I am of you for agreeing to serve as my personal representative to [country, international organization]. This is a moment in history of wide possibility and enormous opportunity, and I have no doubt you share my own sense of excitement about what together we can achieve.

In addition to conveying my personal thanks and congratulations, this will also serve as a letter of instruction to you as United States Chief of Mission. In the widest sense, your mission is to protect America's vital interests, promote the growth of freedom and democratic institutions, and help set loose the creative energies of millions of people through the spread of the free-market system. The underlying principle here is a belief that the talents and dreams of average people—their human hopes and loves—should be rewarded by freedom and protected by peace. You have the opportunity to engage in a distinctly American internationalism: idealism without illusion, confidence without conceit or arrogance, realism in the service of American ideals.

In carrying out these objectives I ask that you fully understand the authority extended to you in this letter and closely consider the duties listed here which, though of necessity described sometimes in technical or legal terms, are of vital importance to the successful completion of your mission. Furthermore, you should know that these instructions have been shared with all Departments and agencies, and I have directed that they give you their full cooperation. You are to carry out these instructions and your mission to the best of your ability and consistent with applicable law.

As Chief of Mission, you have full responsibility for the direction, coordination, supervision of all United States Government Executive Branch employees [in country/representing the United States at international organization] (except for elements and personnel under the command of a U.S. area military commander [i.e., a geographic combatant commander] or employees on the staff of an international organization). This also means that, except for the personnel exempted above, you are in charge of all United States Government Executive Branch activities and operations and their conduct in accordance with the International Affairs Strategic Plan in your [mission/international organization]. It is my hope you will take good care of all those under your supervision, seeing to it that each individual has every opportunity for professional advancement and career fulfillment, as well as the best possible chance to serve our country and its mission abroad.

Continuation—1 FAM 013 Exhibit 013.2

Please report to me through the Secretary of State. Under my direction, the Secretary of State is, to the fullest extent provided by the law, responsible for the overall coordination and supervision of all United States Government activities and operations abroad. The only authorized channel for instruction to you is through the Secretary or from me. To this, there are only two exceptions: (1) if I personally instruct you to use a private channel; or (2) if the Secretary instructs you to use a non-State channel.

In charging you to exercise full responsibility for all Executive Branch personnel [in country/at international organization] except elements and personnel under the command of a U.S. area military commander or on the staff of an international organization, I wish to make clear that this encompasses all American and foreign national personnel, in all employment categories, whether direct hire or personal services contract, full- or part-time, permanent or temporary [regardless of where located in your country of assignment]. All Executive Branch agencies under your authority, and every element of your Mission, must keep you fully informed at all times of their current and planned activities so that you can effectively carry out your responsibility for United States Government programs and operations [in country/at international organization]. You have the right to see all communications to or from Mission elements, however transmitted, except those specifically exempted by law or Executive decision.

You should provide the necessary support, both political and material, for consular operations at your mission. You should be diligent in minimizing the threat of terrorism and advocating for its victims. You should constructively address uncompensated and wrongful expropriations of Americans' property including their intellectual property rights.

As Commander in Chief, I retain authority over the U.S. Armed Forces. On my behalf, you have full responsibility for the direction, coordination and supervision of all Department of Defense personnel on official duty [in country/at international organization] except those elements and personnel under the command of a U.S. area military commander. You and the area military commander must keep each other currently and fully informed and cooperate on all matters of mutual interest. Should you and an area military commander disagree, any differences that cannot be resolved in the field will be reported by you to the Secretary of State; area military commanders will report, through the Chairman of the Joint Chiefs of Staff, to the Secretary of Defense.

I expect you to take direct and full responsibility for the security of your Mission. Unless an interagency agreement provides otherwise, the Secretary of State and, by extension, you as Chief of Mission must protect all United States Government personnel on official duty abroad (other than those elements and personnel under the security protection of a U.S. area military commander or on the staff of an international organization) and their accompanying dependents.

This includes their physical security within and outside the chancery gate. The proper handling of sensitive information and material is also imperative. You and the U.S. area military commander should develop appropriate security procedures, arrangements, and documentation for all Department of Defense elements and personnel, assigning them to either your authority and security responsibility or to that of the area military commander. You and the U.S. area military commander should also consult and coordinate responses to common threats. I will also expect your sustained personal attention and energy to combat the proliferation of harmful technologies or weapons of mass destruction.

Continuation—1 FAM 013 Exhibit 013.2

Every Executive Branch agency under your authority must obtain your approval before changing the size, composition, or mandate of its staff regardless of the employment category [or where located in your country of assignment]. I ask that you review programs, personnel, and funding levels regularly, and ensure that all agencies attached to your Mission do likewise. Functions that can be performed by personnel based in the United States or at regional offices overseas should not be performed at post. In your reviews, should you find staffing to be either excessive or inadequate to the performance of priority Mission goals and objectives, I urge you to initiate staffing changes in accordance with established procedures.

If a Department head disagrees with you on staffing matters, he or she may appeal your decision to the Secretary of State, to whom I have delegated my responsibility for resolving such matters. In the event the Secretary is unable to resolve the dispute, the Secretary and the respective Department head will present their differing views to me for decision.

All United States Government personnel (other than those elements and personnel in country under the command of a U.S. area military commander or on the staff of an international organization) must obtain country clearance before [entering (country)/visiting (international organization)] on official business. You may refuse country clearance or may place conditions or restrictions on visiting personnel as you determine necessary.

As Chief of Mission you are not only my personal representative [in country/at international organization] but that of our country. I expect you to discharge this trust with professional excellence, the highest standards of ethical conduct, and diplomatic discretion, and use your personal diplomacy to press issues of importance to American citizens when that is useful and appropriate. I urge you to see that there is no discrimination or harassment of any kind at your Mission. I ask you to ensure that your staff similarly adheres to the same strict standards and maintains our shared commitment to equal opportunity. In that regard, I instruct you to visit the Department of State's Office of the Inspector General prior to your posting for useful instructions on issues relevant to proper operation of your mission.

America remains engaged in the world by history and by choice, shaping a balance of power that favors freedom. Besides United States Government activities, this means assistance to American citizens, institutions, and businesses as they pursue a multitude of charitable and commercial interests ranging from the promotion of American products and services exported overseas to people-to-people assistance in foreign lands. All this means not just sound management but inspired leadership from U.S. representatives abroad.

I know how anxious you are to render such service to our country and the principles and ideals for which the United States has always stood. For all of the instructions and duties outlined above, I know your own sense of patriotism, selflessness, and desire for excellence is America's greatest hope for the success of your Mission.

As you begin your work, please be assured of my warmest regards and the best wishes of a grateful Nation.

Sincerely,

1 FAM 013 Exhibit 013.6

**THE ROLE OF THE PEACE CORPS:
TEXT OF SECRETARY OF STATE
TELEGRAM OF DECEMBER 13, 1995**

(TL:ORG-64; 08-30-1996)

FM SECSTATEWASHDC
TO ALL DIPLOMATIC AND CONSULAR POSTS
SPECIAL EMBASSY PROGRAM
UNCLAS 95 STATE 287326
E.O.12598: N/A
TAGS: AMGT, AODE, KSEP
SUBJECT: THE ROLE OF THE PEACE CORPS

1. INTRODUCTION

Peace Corps Director Mark Gearan pointed out that it has been a number of years since a Secretary of State reminded chiefs of mission (COMB) of the unique role the Peace Corps plays in America's foreign policy. I am delighted to take this opportunity to reaffirm the basic principles that should serve as our guide in our dealings with the Peace Corps. The President and I strongly support the objectives and purposes of the Peace Corps and wish to strengthen its capabilities and effectiveness in the years ahead. While much in the general environment in which we conduct foreign relations has changed since the founding of the Peace Corps in 1961, the underlying principles that define its mission remain the same. Let us recall their importance and understand that their spirit and not just their details should govern our actions. As Secretary Rusk stated in 1961:

The Peace Corps is not an instrument of foreign policy because to make it so would rob it of its contribution to foreign policy."

2. PEACE CORPS' PURPOSE

As stated in the Peace Corps Act, the purpose of the Peace Corps is to promote world peace and friendship. The agency's essential role is threefold:

a) To foster improved mutual understanding and build links between the American people and the peoples of host countries;

b) To work at the grass-roots level with people of the host countries in activities that will improve the conditions of their lives and be sustainable; and

Continuation—1 FAM 013 Exhibit 013.6

c) To demonstrate, through the personal commitment of the volunteers, the interest and involvement of American citizens in the welfare of people of other countries that is distinct and separate from the official relations and policies of governments.

The Peace Corps makes a significant contribution to the building of international understanding and sympathy between people that is an integral long-term objective of American foreign policy.

3. RELATIONSHIP BETWEEN THE US MISSION AND PEACE CORPS STAFF.

a) To fulfill its responsibilities successfully and to retain its unique people-to-people character, the Peace Corps must remain substantially separate from the day-to-day conduct and concerns of our foreign policy. The Peace Corps' role and its need for separation from the day-to-day activities of the mission are not comparable to those of other US Government agencies. To maintain this basic separation, Peace Corps programs generally should not be linked directly to other initiatives or negotiations.

b) The President's letter of instruction and other relevant laws and regulations (including your delegated duties under the Diplomatic Security Act) outline your authority over and responsibilities for all executive branch employees, including Peace Corps staff. As Secretary of State, I am responsible for the "Continuous supervision and general direction" of Peace Corps programs to ensure they are effectively integrated both at home and abroad, and that they best serve the objectives of US foreign policy. Like my predecessors, I ask that you join me in exercising these authorities so as to provide the Peace Corps with as much autonomy and flexibility in its operations as possible, so long as this does not conflict with US objectives and policies.

c) Country directors and staff members are U.S. officials and a part of the U.S. mission; as such they are covered by NSDD 38. They are present in the country under a separate Peace Corps country agreement under which they have certain privileges, including tax and customs duties exemptions, but no immunities from the jurisdiction of the host government. Peace Corps employees should not be asked to assume responsibilities outside their Peace Corps duties except in unusual situations. In particular, they should not be asked to perform functions associated with, or that might give an appearance of association with, intelligence or defense activities.

Continuation—1 FAM 013 Exhibit 013.6

d) The Peace Corps Director will of course notify you of the selection of the Country Director to be assigned to the mission. The Peace Corps welcomes your assessment of the Country Director's or other staff member's performance for incorporation into the annual and on-going evaluation process by the Peace Corps of its employees.

e) The Peace Corps expects its employees to live at a level that appropriately reflects the Peace Corps' status as a people-to-people, volunteer organization. Traditionally Peace Corps offices and staff residences have not been located in mission compounds or in areas predominantly frequented by foreigners. Unless security needs dictate otherwise, you should seek to preserve this tradition.

4. PEACE CORPS VOLUNTEERS

a) For all relevant purposes, volunteers are not considered U.S. Government employees. They are not official members of the mission and do not have diplomatic immunity. Generally, you and other members of the mission should not treat them as employees but should treat them in the same manner as you do all other private American citizens resident in your area.

b) Volunteers are selected on the basis of technical expertise, motivation, and personal characteristics relevant to the Peace Corps' purposes of providing technical assistance and fostering improved understanding of the American people by host-country citizens and of host-country peoples on the part of the American people. They are expected to maintain an apolitical stance with respect to the political affairs in their countries of service.

c) In the absence of overriding security concerns, the Peace Corps is responsible for determining what volunteers will do and where they will be located in-country.

5. COUNTRY AGREEMENTS

Continuation—1 FAM 013 Exhibit 013.6

The Secretary of State is responsible for the negotiation, conclusion, and termination of Peace Corps country agreements. The Peace Corps must obtain the Department of State's advice and approval before new programs are proposed or country agreements are negotiated. The Department will follow the Circular 175 procedure set out in 11 FAM 700 in approving negotiation, conclusion, or termination of country agreements. Thereafter, the Peace Corps will ordinarily make direct contact with host governments and arrange for the implementation of country agreements. The Peace Corps representative will keep you fully informed and appropriately consult with you regarding the programs being planned and the number of volunteers involved. Before making a decision about terminating activity in a given country, the Peace Corps will conduct a thorough review in consultation with you and the Department of State. (As mentioned above, terminating a country agreement requires Department approval under Circular 175 procedures.)

6. CLOSING

For more than 30 years, the extraordinary cooperation that has existed between the Department of State and the Peace Corps and particularly the assistance that has been extended to the Peace Corps by COMs and overseas missions has enabled more than 140,000 volunteers to demonstrate the American people's concern for the welfare of the citizens of other countries and commitment to peace. Their success in those endeavors has enhanced significantly the image of the United States abroad. With your assistance, the Peace Corps will continue to fulfill this important mission that serves the best interests of the United States. I rely on you to manage constructively the Peace Corps relationship at your post.

TARNOFF